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Attorney Docket No.: N1085-00256  
[TSMC2003-0899]

## **FACSIMILE TRANSMITTAL SHEET**

In re application of: **Huang-Ming Chen et al.**

Examiner: **Karla A. Moore**

Serial No.: **10/765,808**  
Filed: **01/27/2004**

Group Art Unit: **1763**  
Confirmation No.: **2454**

For: **METHOD AND APPARATUS FOR BACKSIDE POLYMER REDUCTION IN DRY-ETCH PROCESS**

**TO:** Examiner Karla A. Moore  
Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**FACSIMILE NUMBER:** 571-273-8300

**CONFIRMATION**

**TELEPHONE:**

**FROM:** Mark J. Marcelli

**DIRECT DIAL:** 619.744.2243

**DATE:** September 7, 2007

**TOTAL # OF PAGES:**  
(INCLUDING COVERSHEET)

**MESSAGE:** Attached please find: 1) Information Disclosure Statement Transmittal Letter, 2) Information Disclosure Statement and 3) Fee Transmittal (in duplicate).

**NOTE:** Original will not follow

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ATTORNEY DOCKET NO.: N1085-00256  
[TSMC2003-0899]

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: **Huang-Ming Chen**Serial No.: **10/765,808**Group Art Unit: **1763**Filed: **01/27/2004**Examiner: **Karla A. Moore**For: **METHOD AND APPARATUS FOR BACKSIDE POLYMER REDUCTION IN  
DRY-ETCH PROCESS**CERTIFICATE OF MAILING/FACSIMILE TRANSMISSION  
PURSUANT TO 37 C.F.R. §1.8

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September 7, 2007

Date

  
Maria E. ProvencioINFORMATION DISCLOSURE STATEMENT  
TRANSMITTAL LETTER

Dear Sir:

Enclosed herewith is an Information Disclosure Statement pursuant to 37 CFR.  
§ 1.56 in connection with the above-identified application, which statement is being filed:

- ☐ Together with the present application.
- ☐ Before the first Office Action on the merits or three (3) months from the filing date of this application, whichever occurs last. [37 CFR § 1.97(b)]
- ☒ After the first Office Action on the merits, but before a Final Office Action under §1.113 or Notice of Allowance under §1.311, whichever occurs first. [37 CFR § 1.97(c)]
- ☐ After a Final Office Action under §1.113 or Notice of Allowance under §1.311, but prior to or with payment of the Issue Fee. [37 CFR § 1.97(d)]

Consistent with Applicant's obligations pursuant to 37 CFR §§1.97 and 1.98, the following requirements have been met:

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- 1 -

09/12/2007 SSESHE1 00000072 041679 10765808  
01 FC:1806 180.00 DA

SEP 07 2007

ATTORNEY DOCKET NO.: N1085-00256  
[TSMC2003-0899]

☒ No separate requirements are needed.

☒ No additional fee is required.

☐ **Fee Under 37 CFR § 1.97(c)**

The fee of \$180.00 for submission of an IDS under § 1.97(c) as set forth in § 1.17(p) accompanies this statement.

☒ **Fee Under 37 CFR § 1.97(d)**

The fee of \$180.00 for submission of an information disclosure statement under § 1.97(d) set forth in § 1.17(p) accompanies this statement.

☐ **Certification Under 37 CFR § 1.97(e)**

- ☐ Each item of information contained in this statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement; or
- ☐ No item of information contained in this statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in this statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of this statement.

**Provision of Copies of References**

☐ A copy of each of the non-U.S. patent references listed on the attached Form PTO-1449 is enclosed herewith and forms a part hereof.

☐ Partial Translation is enclosed herewith and form a part hereof.

☐ A copy of the European Search Report from a corresponding or related EPO application is enclosed herewith.

☐ A copy of the International Search Report from a corresponding or related PCT application is enclosed herewith.

**Identification of Prior Application(s) In Which Listed Information Was Already Cited And For Which No Copies Are Submitted Or Need Be Submitted**

ATTORNEY DOCKET NO.: N1085-00256  
[TSMC2003-0899]

- [ ] This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior U.S. Application No(s). The **attached/disclosed** non-patent literature documents were submitted to, and/or cited by, the Office in the prior application(s) and therefore are not required to be provided in this application.
- [X] The Commissioner is hereby authorized to charge any fees necessary to give effect to this filing or credit any overpayment to Deposit Account No. 04-1679. A duplicate copy of this transmittal is attached.

Respectfully submitted,

DATE: 07 Sept. 2007

  
Mark J. Marcelli  
Attorney for Applicant(s)  
Reg No. 36,593

DUANE MORRIS LLP  
101 West Broadway, Suite 900  
San Diego, CA 92101  
Telephone: 619-744-2243  
Fax: 619-744-2201

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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449/PTO

# **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 1

of 1

## **Complete if Known**

Application Number	10/765,808
Filing Date	01/27/2004
First Named Inventor	Huang-Ming Chen
Art Unit	1763
Examiner Name	Karla A. Moore
Attorney Docket Number	N1085-00256

## **U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
		US- 6,554,954	04-29-2003	Ma et al.	
		US- 6,723,202	04-20-2004	Nagalwa et al.	
		US- 6,562,186	05-13-2003	Saito et al.	
		US- 6,364,957	04-02-2002	Schneider et al.	
		US- 6,436,230	08-20-2002	Kondo et al.	
		US- 5,444,207	08-22-1995	Sekine et al.	
		US- 5,976,310	11-02-1999	Levy	
		US- 5,993,594	11-30-1999	Wicker et al.	
		US- 6,251,793	06-26-2001	Wicker et al.	
		US- 6,337,277	01-08-2002	Chou et al.	
		US- 6,423,175	07-23-2002	Huang et al.	
		US- 6,508,686	01-14-2003	Masuda et al.	
		US- 6,508,911	01-21-2003	Han et al.	
		US-			
		US-			
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## **FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T <sup>5</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				

Examiner  
SignatureDate  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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COPY

ATTORNEY DOCKET NO.: N1085-00256  
[TSMC2003-0899]

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: **Huang-Ming Chen**Serial No.: **10/765,808**Group Art Unit: **1763**Filed: **01/27/2004**Examiner: **Karla A. Moore**For: **METHOD AND APPARATUS FOR BACKSIDE POLYMER REDUCTION IN DRY-ETCH PROCESS**CERTIFICATE OF MAILING/FACSIMILE TRANSMISSION  
PURSUANT TO 37 C.F.R. §1.8

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September 7, 2007

Date

  
Maria E. ProvenzioINFORMATION DISCLOSURE STATEMENT  
TRANSMITTAL LETTER

Dear Sir:

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- ☐ Together with the present application.
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- ☒ After the first Office Action on the merits, but before a Final Office Action under §1.113 or Notice of Allowance under §1.311, whichever occurs first. [37 CFR § 1.97(c)]
- ☐ After a Final Office Action under §1.113 or Notice of Allowance under §1.311, but prior to or with payment of the Issue Fee. [37 CFR § 1.97(d)]

Consistent with Applicant's obligations pursuant to 37 CFR §§1.97 and 1.98, the following requirements have been met:

ATTORNEY DOCKET NO.: N1085-00256  
[TSMC2003-0899]☒ No separate requirements are needed.☒ No additional fee is required.☐ **Fee Under 37 CFR § 1.97(c)**

The fee of \$180.00 for submission of an IDS under § 1.97(c) as set forth in § 1.17(p) accompanies this statement.

☒ **Fee Under 37 CFR § 1.97(d)**

The fee of \$180.00 for submission of an information disclosure statement under § 1.97(d) set forth in § 1.17(p) accompanies this statement.

☐ **Certification Under 37 CFR § 1.97(e)**

- ☐ Each item of information contained in this statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement; or
- ☐ No item of information contained in this statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in this statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of this statement.

**Provision of Copies of References**

- ☐ A copy of each of the non-U.S. patent references listed on the attached Form PTO-1449 is enclosed herewith and forms a part hereof.
- ☐ Partial Translation is enclosed herewith and form a part hereof.
- ☐ A copy of the European Search Report from a corresponding or related EPO application is enclosed herewith.
- ☐ A copy of the International Search Report from a corresponding or related PCT application is enclosed herewith.

**Identification of Prior Application(s) In Which Listed Information Was Already Cited And For Which No Copies Are Submitted Or Need Be Submitted**

ATTORNEY DOCKET NO.: N1085-00256  
[TSMC2003-0899]

- [ ] This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior U.S. Application No(s). The **attached/disclosed** non-patent literature documents were submitted to, and/or cited by, the Office in the prior application(s) and therefore are not required to be provided in this application.
- [X] The Commissioner is hereby authorized to charge any fees necessary to give effect to this filing or credit any overpayment to Deposit Account No. 04-1679. A duplicate copy of this transmittal is attached.

Respectfully submitted,

DATE: 07 Sept. 2007

  
Mark J. Marcelli  
Attorney for Applicant(s)  
Reg No. 36,593

DUANE MORRIS LLP  
101 West Broadway, Suite 900  
San Diego, CA 92101  
Telephone: 619-744-2243  
Fax: 619-744-2201



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PTO/SB/17 (02-07)

Approved for use through 02/28/2007. OMB 0851-0032

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Effective on 12/08/2004.

Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).

**FEE TRANSMITTAL**  
**For FY 2007**☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 180.00

**Complete if Known**

Application Number	10/765,808
Filing Date	01/27/2004
First Named Inventor	Huang-Ming Chen
Examiner Name	Karla A. Moore
Art Unit	1763
Attorney Docket No.	N1085-00256

**METHOD OF PAYMENT (check all that apply)**
☐ Check ☐ Credit Card ☐ Money Order ☐ None ☐ Other (please identify): \_\_\_\_\_

☒ Deposit Account Deposit Account Number: 04-1679 Deposit Account Name: Duane Morris LLP

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply):

☒ Charge fee(s) indicated below ☐ Charge fee(s) indicated below, except for the filing fee  
☒ Charge any additional fee(s) or underpayments of fee(s) under 37 CFR 1.16 and 1.17 ☒ Credit any overpayments

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**FEE CALCULATION****1. BASIC FILING, SEARCH, AND EXAMINATION FEES**

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid (\$)
	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	
Utility	300	150	500	250	200	100	
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	

**2. EXCESS CLAIM FEES****Fee Description**

Each claim over 20 (including Reissues)

Each independent claim over 3 (including Reissues)

Multiple dependent claims

Fee (\$)	Small Entity Fee (\$)
50	25
200	100
360	180

Total Claims	Extra Claims	Fee (\$)	Fee Paid (\$)
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- 20 or HP = \_\_\_\_\_ x \_\_\_\_\_ = \_\_\_\_\_

HP = highest number of total claims paid for, if greater than 20.

Indep. Claims	Extra Claims	Fee (\$)	Fee Paid (\$)
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- 3 or HP = \_\_\_\_\_ x \_\_\_\_\_ = \_\_\_\_\_

HP = highest number of independent claims paid for, if greater than 3.

**3. APPLICATION SIZE FEE**

If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof	Fee (\$)	Fee Paid (\$)
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- 100 = \_\_\_\_\_ / 50 = \_\_\_\_\_ (round up to a whole number) x \_\_\_\_\_ = \_\_\_\_\_

**4. OTHER FEE(S)**

Non-English Specification. \$130 fee (no small entity discount)

Other (e.g., late filing surcharge): Information Disclosure Statement

Fees Paid (\$)

\$180.00

**SUBMITTED BY**

Signature	<i>Mark J. Marcelli</i>	Registration No. (Attorney/Agent)	36,593	Telephone	619-744-2243
Name (Print/Type)	Mark J. Marcelli			Date	September 7, 2007

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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